

Subpart C: Prevention Program – Incident Investigation

[§§ 68.60 & 68.81]



What's an Incident?



What's an RMP Incident?

- §§ 68.60 (a) & [68.81(a)] Incident investigation.
 - [An] . . . **incident which resulted in, or could reasonably have resulted in a catastrophic release [of a regulated substance]**.
 - Includes “Near Misses.”
 - Catastrophic Release
 - A major uncontrolled emission, fire, or explosion, involving one or more regulated substances that presents imminent and health and the environment
 - Presents serious danger to employees in the workplace or to the surrounding community

Examples of Catastrophic Releases



- Process fires
- Explosions
- Reportable spills and releases
- Flammable, toxic, or reactive piping failures
- Line breaking accidents
- Equipment failures

Requirements for an Investigation



- Begin within 48 hours of accident or incident
- Establish knowledgeable investigation team
- Summarize the investigation in a written report

When to conduct the investigation?

- ≤ 48 hours following the incident.
 - Weekends and holidays are included.
- No specific time limit on completion, unless:
 - Incident meets “5-year accident history” criteria for a ≤ 6 months RMP correction.



Incident Investigation

Program 2 Facility

- Owner/Operator [O/O]
- Incident summary
 - Date of incident;
 - Date investigation began;
 - A description of the incident;
 - The factors that contributed to the incident; and,
 - Any recommendations resulting from the investigation.
- The O/O shall:
 - Promptly address and resolve the investigation findings and recommendations
 - Remember the 5-YAH \leq 6 month RMP correction
 - Document resolutions and corrective actions
 - Review with all affected personnel
 - Summaries shall be retained for five years

Incident Investigation

Program 3 Facility

- **Investigation Team**
 - Include contract employees if appropriate
- **Investigation Report**
 - Date of incident;
 - Date investigation began;
 - Description of the incident;
 - Factors that contributed to the incident; and,
 - Recommendations resulting from the investigation.
- **The O/O shall:**
 - Promptly address and resolve the investigation findings and recommendations
 - Remember the 5-YAH \leq 6 month RMP correction
 - Document resolutions and corrective actions
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Does the incident impact other Prevention Program Elements?

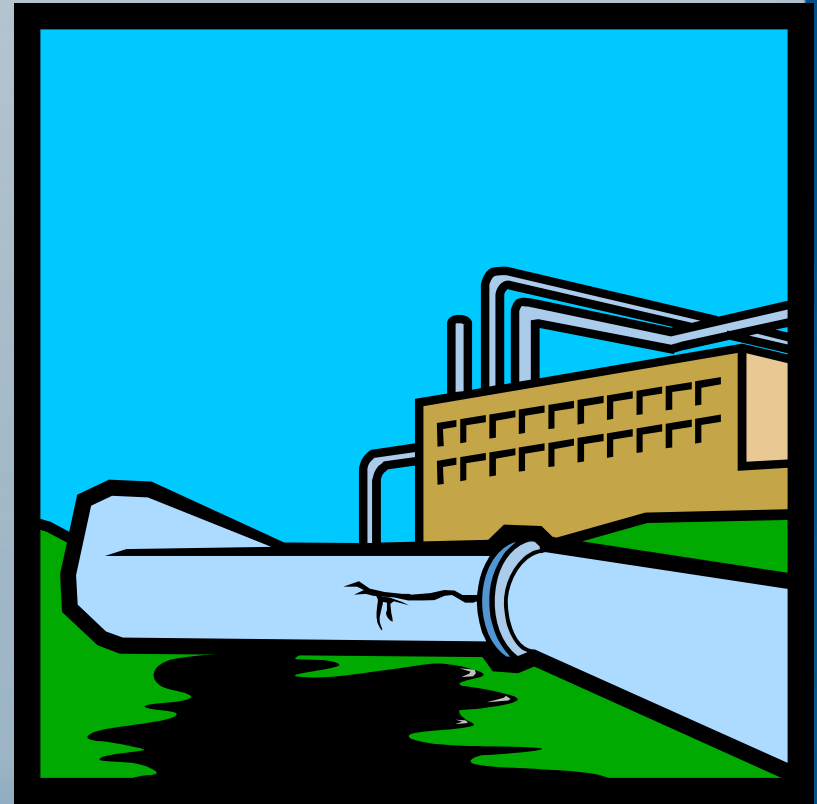
Interrelationship of Prevention Program Elements

Example: Incident (valve failure)

- Replace w/ new type valve
 - **Triggers:**
 - Management of Change
 - Operating Procedures
 - Training
 - Employee Participation
 - Contractors
 - Pre-startup Safety Review
 - Hot Work Permit
 - Emergency Planning
- At a Minimum, **Key Elements** should always be routinely reviewed following an incident:
 - **Operating Procedures;**
 - **Process Hazard Analysis;** and
 - **Training**

Incident Resolution

- Employer must either:
 - Adopt the incident investigation team's recommendation or
 - Justifiably decline to adopt the recommendations



Declining Recommendations

- Owner/Operator must:
 - Inform team members when they decide to decline adopting a recommendation;
 - Document the justification in writing and must be based on adequate information from the following conditions:
 - Analysis and recommendations were based on factual errors
 - Recommendation not necessary to protect employees, contractors, or the public
 - Alternative measure would provide sufficient protection
 - Recommendation presented was not feasible for adoption

Incident Investigations at Progressive Companies

- Not merely looking at only the specific findings, but look beyond “what broke”
- Determine root cause to ensure recurrence is eliminated, if possible
- Look at management systems and organizational structure that could be improved
- Use information from investigation to assess the program
- All incidents are investigated, including “near misses”

Goals of the Investigation



- Turn negative experience into a positive
- Use investigation as a program management tool
- Companies can save lots of money by not conducting investigations
- Prevents injuries
- Prevent process shutdown
- Prevent recurrence